

04/27/01


 FORM PTO-1390
(REV. 11-2000)

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

JC03 RECEIVED PTO 127 APR 2001

ATTORNEY'S DOCKET NUMBER

NNG201

U.S. APPLICATION NO. (If known, see 37 CFR 1.5)

09/830518

TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A FILING UNDER 35 U.S.C. 371

INTERNATIONAL APPLICATION NO.

PCT/EP 00/08126

INTERNATIONAL FILING DATE

21 AUGUST 2000

PRIORITY DATE CLAIMED

26 AUGUST 1999

TITLE OF INVENTION *POLYCYCLIC PYRIMIDINE - 2, 4 (1H, 3H)- DIONES WITH
FUNCTIONALIZED ALKYL RESIDUES AT THE 1- AND/OR 3- POSITION(S); METHODS...*

APPLICANT(S) FOR DO/EO/US


KONRAD HERRMANN ; SIEGRIED LEISNER

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☐ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.
4. ☐ The US has been elected by the expiration of 19 months from the priority date (Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
 - a. ☒ is attached hereto (required only if not communicated by the International Bureau).
 - b. ☐ has been communicated by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☒ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
 - a. ☒ is attached hereto.
 - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
 - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
 - b. ☐ have been communicated by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☐ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371 (c)(3)).
9. ☐ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

Items 11 to 20 below concern document(s) or information included:

11. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☒ A **FIRST** preliminary amendment.
14. ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
15. ☐ A substitute specification.
16. ☐ A change of power of attorney and/or address letter.
17. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 35 U.S.C. 1.821 - 1.825.
18. ☐ A second copy of the published international application under 35 U.S.C. 154(d)(4).
19. ☐ A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).
20. ☒ Other items or information:
 - ☒ FORM PTO 1449
 - ☒ FORM PTO-2038
 - ☒ REQUEST TO ACCEPT PATENT APPLICATION FOR ENTERING INTO
US NATIONAL PHASE

U.S. APPLICATION NO. 09/830518 PCT/EP 00/08126		INTERNATIONAL APPLICATION NO. NNG 201																	
<p>21. <input checked="" type="checkbox"/> The following fees are submitted:</p> <p>BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)):</p> <p>Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO..... \$1000.00</p> <p>International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO\$860.00</p> <p>International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO \$710.00</p> <p>International preliminary examination fee (37 CFR 1.482) paid to USPTO but all claims did not satisfy provisions of PCT Article 33(1)-(4) \$690.00</p> <p>International preliminary examination fee (37 CFR 1.482) paid to USPTO and all claims satisfied provisions of PCT Article 33(1)-(4) \$100.00</p> <p align="center">ENTER APPROPRIATE BASIC FEE AMOUNT =</p> <p>Surcharge of \$130.00 for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(e)).</p> <table border="1" style="width: 100%;"> <thead> <tr> <th>CLAIMS</th> <th>NUMBER FILED</th> <th>NUMBER EXTRA</th> <th>RATE</th> </tr> </thead> <tbody> <tr> <td>Total claims</td> <td align="right">6 - 20 =</td> <td></td> <td>x \$18.00</td> </tr> <tr> <td>Independent claims</td> <td align="right">1 - 3 =</td> <td></td> <td>x \$80.00</td> </tr> <tr> <td colspan="3">MULTIPLE DEPENDENT CLAIM(S) (if applicable)</td> <td>+ \$270.00</td> </tr> </tbody> </table> <p align="center">TOTAL OF ABOVE CALCULATIONS =</p> <p><input checked="" type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.</p> <p align="center">SUBTOTAL =</p> <p>Processing fee of \$130.00 for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(f)).</p> <p align="center">TOTAL NATIONAL FEE =</p> <p>Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property +</p> <p align="center">TOTAL FEES ENCLOSED =</p>		CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE	Total claims	6 - 20 =		x \$18.00	Independent claims	1 - 3 =		x \$80.00	MULTIPLE DEPENDENT CLAIM(S) (if applicable)			+ \$270.00	<p align="center">CALCULATIONS PTO USE ONLY</p> <hr/> <p>\$ 860.00</p> <hr/> <p>\$</p> <hr/> <p>\$</p> <hr/> <p>\$</p> <hr/> <p>\$</p> <hr/> <p>\$</p> <hr/> <p>\$</p> <hr/> <p>\$</p> <hr/> <p>\$ 430.00</p> <hr/> <p>\$ 430.00</p> <hr/> <p>\$</p> <hr/> <p>\$</p> <hr/> <p>\$ 430.00</p> <hr/> <p>\$</p> <hr/> <p>\$</p> <hr/> <p>\$ 430.00</p> <hr/> <p>Amount to be refunded: \$</p> <hr/> <p>charged: \$ 430.00</p>	
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE																
Total claims	6 - 20 =		x \$18.00																
Independent claims	1 - 3 =		x \$80.00																
MULTIPLE DEPENDENT CLAIM(S) (if applicable)			+ \$270.00																
<p>a. <input type="checkbox"/> A check in the amount of \$ _____ to cover the above fees is enclosed.</p> <p>b. <input type="checkbox"/> Please charge my Deposit Account No. _____ in the amount of \$ _____ to cover the above fees. A duplicate copy of this sheet is enclosed.</p> <p>c. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. <u>11-0224</u>. A duplicate copy of this sheet is enclosed.</p> <p>d. <input checked="" type="checkbox"/> Fees are to be charged to a credit card. WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.</p>																			
<p>NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137 (a) or (b)) must be filed and granted to restore the application to pending status.</p> <p>SEND ALL CORRESPONDENCE TO:</p> <div style="float: left; width: 60%;"> <p>Horst M. Kasper 13 Forest Drive Warren, N.J. 07059</p> </div> <div style="float: right; width: 35%; text-align: center;">  SIGNATURE <u>HORST M. KASPER</u> NAME 28,559 REGISTRATION NUMBER </div>																			

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Konrad Herrmann et al.

Serial No:

Filing Date:

Title: POLYCYCLIC PYRIMIDINE -2,4(1H,3H)-DIONES WITH FUNCTIONALIZED
ALKYL RESIDUES AT THE 1- AND/OR 3-POSITION(S); METHODS FOR THEIR
SYNTHESIS AND PHARMACEUTICAL PREPARATION

Examiner:

Art Unit:

PCT Application no: PCT/EP00/08126

PCT Application filing date: 21 August 2000

Priority Application Data: Country: Germany
Number: 199 40 494.1
Filing Date: 26 August 1999

April 26, 2001

Attorney's Docket No.: NNG201

TRANSMITTAL LETTER

Hon. Commissioner of Patents and Trademarks

Box PCT

Washington, D.C. 20231

SIR:

Transmitted herewith for filing is:

- <X> Form PTO-1390
- <X> Copy of the International PCT Application (No. PCT/EP00/08126) as filed (37 pages)
- <X> English language translation of International Application (No. PCT/EP00/08126) as filed (88 pages + 1 cover page)
- <X> Preliminary Amendment dated April 23, 2001 including markings to show changes made (27 pages)
- <X> Clean version of the amended claims (23 pages)

Basic fee: \$860.00

TOTAL CLAIMS: 6 - 20 = x \$18.00 = \$

INDEPENDENT CLAIMS: 1 - 3 = x \$40.00 = \$

<X> Applicant claims small entity status. The fees indicated above are
reduced by 1/2

<X> Request to Accept Patent Application for Entering U.S. National
Phase under 35 USC § 371

<X> Claim of Priority

<X> Form PTO-1449

<X> Copy of the International Search Report with copies of the
references cited therein

<X> Form PTO-2038

(X) The applicant hereby petitions the Commissioner of Patents and Trademarks to extend the time for response to any Office Action outstanding in the above captioned matter as necessary to avoid abandonment of the application. Please charge my deposit account No.11-0224 in the amount required to cover the cost of the extension. Any deficiency or overpayment should be charged or credited to the above account.

(X) The Commissioner is hereby authorized to charge any fees under 35 U.S.C. 1.16, and 1.17, after a mailing of a Notice of Allowance under 35 USC 1.18 or any additional fees which may be required during the entire pendency of the application, or credit any overpayment, to Acct. No.11-0224. A duplicate copy of this sheet is enclosed. If and only if account funds should be insufficient, immediately contact our associate, Lisa Zumwalt, at (703)415-0579, who will pay immediately to avoid deprivation of rights.

() Please charge my Account No.11-0224 in the amount of \$_____. A duplicate copy of this sheet is enclosed.

A signature or signatures required for the above recited document(s) is (are) provided herebelow. Such signature(s) also provide(s) ratification for any required signature appearing to be defective in the above recited document(s).

Horst M. Kasper

Horst M. Kasper, 13 Forest Drive, Warren, N.J.07059
Reg. No. 28,559 Tel.(908)757-2839

EXPRESS MAIL CERTIFICATION: I hereby certify that the correspondence attached hereto is being deposited with the USPS "Express Mail Post Office to Addressee" on the date indicated below and is addressed to: Commissioner of Patents and Trademarks, Washington, D.C. 20231,

Deposit Date: 26 APR 2001 "Express Mail mailing No": TD17361718145

Signature: Thomas Heymann Date: 26 APR 2001

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